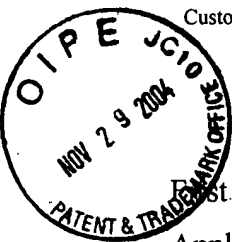


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Customer Number

Patent  
Case No.: 59418US002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: OUDERKIRK, ANDREW J.  
Application No.: 10/726968      Group Art Unit: 1774  
Filed: December 2, 2003      Examiner: Unknown  
Title: PHOSPHOR BASED LIGHT SOURCES HAVING A NON-PLANAR SHORT  
PASS REFLECTOR AND METHOD OF MAKING

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:	
<u>November 24, 2004</u>	<u>Andrea Newhouse</u>
Date	Signed by: Andrea Newhouse

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97, and 1.98, enclosed is a completed Form PTO-1449, citing references submitted for consideration by the Examiner. Copies of any cited foreign patents, non-patent literature, and unpublished US application documents are enclosed. Pursuant to the waiver in the Pre-OG Notice, dated July 11, 2003, copies of US patents and published US patent applications are no longer required and are not enclosed. It is respectfully requested that the Examiner initial and return the enclosed Form PTO-1449 to indicate that each reference has been considered.

If a first Office Action on the merits has been mailed prior to the mailing date of this document, please charge the fee for consideration of an Information Disclosure Statement set forth in 37 CFR § 1.17(p), and if necessary, please charge any additional fees, or credit any overpayment to Deposit Account No. 13-3723.

Respectfully submitted,

23 Nov. 2004  
Date

By: Stephen C. Jensen  
Stephen C. Jensen, Reg. No.: 35,207  
Telephone No.: (651) 736-3369

Office of Intellectual Property Counsel  
3M Innovative Properties Company  
Facsimile No.: 651-736-3833

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Use as many sheets as necessary)

Page 1 of 4



## U.S. Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
	A1	US- 2001-001207	5/17/01	Shimizu et al.	
	A2	US- 2001-0013668	8/16/01	Neavin et al.	
	A3	US- 2002-0017651	2/14/02	Kato et al.	
	A4	US- 2002-0043926	4/18/02	Takahashi et al.	
	A5	US- 2002-0054406	5/09/02	Duerksen	
	A6	US- 2002-0063520	5/30/02	Yu et al.	
	A7	US- 2002-0079837	6/27/02	Okazaki	
	A8	US- 2002/0084748	7/4/02	Ayala et al.	
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	A15	US- 2003-0002272	1/02/03	Suehiro et al.	
	A16	US- 2003-0038295	2/27/03	Koda	
	A17	US- 2003/0217806	11/27/03	Tait et al.	
	A18	US- 2004-0116033	06/17/04	Ouderkirk et al.	
	A19	US- 2004-0144987	7/29/04	Ouderkirk et al.	
	A20	US- 2004-0145288	7/29/04	Ouderkirk et al.	
	A21	US- 2004-0145312	7/29/04	Ouderkirk et al.	
	A22	US- 2004-0145895	7/29/04	Ouderkirk et al.	
	A23	US- 2004-0145913	7/29/04	Ouderkirk et al.	
	A24	US- 2004-0159900	8/19/04	Ouderkirk et al.	
	A25	US- 2004-0149998	08/05/04	Henson et al.	
	A26	US- 2004-0150991	8/05/04	Ouderkirk et al.	
	A27	US- 2004-0150997	8/05/04	Ouderkirk et al.	
	A28	US- 5,540,978	7/30/96	Schrenk	

\*Examiner:

Date Considered:

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<b>Substitute for form 1449A/PTO (modified)</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 2 of 4	<b>Application Number</b>	<b>10/762678</b>
	<b>Filing Date</b>	<b>January 20, 2004</b>
	<b>First Named Inventor</b>	<b>Ouderkirk, Andrew J.</b>
	<b>Art Unit</b>	<b>2875</b>
	<b>Examiner Name</b>	<b>Unknown</b>
	<b>Attorney Case Number</b>	<b>59418US002</b>

U.S. Patent Documents					
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		Doc. Number-(Kind Code if Known)			
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	A30	US- 5,568,316	10/22/96	Schrenk et al.	
	A31	US- 5,813,752	9/29/98	Singer et al.	
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	A56	US- 6,635,903	10/21/03	Kato et al.	

<b>*Examiner:</b>	<b>Date Considered:</b>
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	<b>Art Unit</b>	2875
	<b>Examiner Name</b>	Unknown
	<b>Attorney Case Number</b>	59418US002

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		Doc. Number-(Kind Code if Known)			
	A57	US- 6,744,077	6/01/04	Trottier et al.	

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Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (If known)				
	B1	DE	199 51 656 A1	8/31/00			X
	B2	EP	0733919 A2	9/25/96			
	B3	EP	0795941 A1	9/17/97			
	B4	EP	EP 1 119 058 A1	7/25/01			
	B5	GB	GB 2 373 368 A	9/18/02			
	B6	WO	97/01778	1/16/97			
	B7	WO	97/10278 English Abstract	3/20/97			
	B8	WO	WO 97/48138	12/18/97			
	B9	WO	WO 99/36248	7/22/99			
	B10	WO	WO 99/60303	11/25/99			
	B11	WO	WO 01/39286	5/31/01			
	B12	WO	WO 01/75490	10/11/01			
	B13	WO	WO 02/37568	5/10/02			
	B14	WO	WO 03/029722	4/10/03			
	B15	WO	WO 04/021461	3/11/04			
	B16	JP	JP 11274572 English Abstract	10/08/99			
	B17	JP	JP 2004031843 English Abstract	1/29/04			
	B18						

OTHER DOCUMENTS			
Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation (Check if yes)
	C1	US Application No. 60/407,426, Soules et al., "Coated LED With Improved Efficiency," filed August 30, 2002.	

<b>*Examiner:</b>	<b>Date Considered:</b>
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute for form 1449A/PTO (modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 4 of 4	<b>Application Number</b>	<b>10/762678</b>
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	<b>Art Unit</b>	<b>2875</b>
	<b>Examiner Name</b>	<b>Unknown</b>
	<b>Attorney Case Number</b>	<b>59418US002</b>

OTHER DOCUMENTS			
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	C2	US Application No. 10/726244; Simbal, John J.; "Reflective Light Coupler"; filed 12/2/2003.	
	C3	US Application No. 10/727220; Schultz, John C.; "Illumination Assembly"; filed 12/2/2003.	
	C4	US Application No. 10/726225; Henson, Gordon D.; "Solid State Light Device"; filed 12/2/2003.	
	C5	US Application No. 10/726248; Watson, James E.; "Multiple LED Source and Method for Assembling Same"; filed 12/2/2003.	
	C6	US Application No. 10/739792; Ouderkirk, Andrew J.; "Display Including a Solid State Light Device and Method Using Same"; filed 12/18/2003.	
	C7	US Application No. 10/726257; Aguirre, Francis M.; "LED Curing Apparatus and Method"; filed 12/2/2003.	
	C8	Weber et al., "Giant Birefringent Optics in Multilayer Polymer Mirrors", Science, Vol.287, March 31, 2000, pp. 2451-2456.	
	C9	Mueller, "White Light Emitting Diodes," Intertech '03, 22 pages.	
	C10	Haaren et al., "Recent Advances in Displays for Portable Products", ASET International Display Forum on Low Power Displays, 21 July 2000, Tokyo (Japan), pp. 1-6, XP-002289713.	

<b>*Examiner:</b>	<b>Date Considered:</b>
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